Role of the Naval Inspector General

Navy MCP Conference
Portsmouth, VA
10-11 March 2004

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Brief Overview

- SECNAV policies
- NAVINSGEN functions
  - Command Assessments
  - Area Visits
  - Special Focus Studies
- Self Assessments
- Common MCP deficiencies
- Future changes

Missions and Functions of the Naval Inspector General

SECNAVINST 5430.57F

- Inspect, investigate, inquire… into matters of importance to DON…readiness…efficiency economy…integrity…morale
- Exercise broad supervision, guidance and coordination for all DON oversight organizations
- Identify areas of weakness…provide recommendations for improvement
- Principal advisor to SECNAV/CNO/CMC on all inspection, investigation, and audit follow-up matters

DON Inspections Policy

SECNAVINST 5040.3A

- Process-focused inspections
- Compliance inspections
- Command self-assessments
- Risk management concepts determine what to evaluate
- Coordinate to eliminate redundancy, minimize command disruption

What we do…

- Command Assessments
  - Mission Performance, Manpower/Personnel, IT/ Technology Assurance, Resource Management, Command Climate
- Area Visits
  - Cuts across command lines/functional areas in a region
  - Evaluates mission readiness, quality of life/service
  - Identify systemic Navy-wide issues
- Special Focus Studies
  - As SECNAV/CNO may direct
  - Focused study of particular area of risk/opportunity to DON

NAVINSGEN Inspection Philosophy

Old Process

- Request self-assessment prior to inspection
- Review for thoroughness
- Conduct on-site visit
- Publish report for SECNAV/CNO/CDR

New Process

- Request periodic self-assessment from all Echelon II commands
- Review self-assessments
- Determine sufficiency
- Conduct on-site visits, as required

Future Command Self-Assessments

- A critical, internal look to determine…
  …what the command does
  …how well it does its mission
  …how results are measured
- Command-tailored, process-intensive, metric-centric
- Emphasis on significant concerns, material weaknesses, and risks (local and higher level)
- Add in best practices and innovative processes

Typical MCP deficiencies (Ech II)

- Lack of a well established, linked process
- Limited command understanding of MCP (internal controls=MCP)
- Outdated inventory of assessable units
- No evidence of training across command
- Insufficient metrics tied to the processes
- Failure of senior leadership to “buy in”

Management Control

- Rigorous Self-assessment directly ties-in to Management Control program
- SA should serve to identify significant material weaknesses
- Provides credible basis for command's annual Statement of Assurance

MCP Policy Revision

- Draft SECNAV instruction 5200.35E in work
- Focus on Echelon I/II commands
- Echelon II commands responsible for directing compliance at lower levels
- Clear definitions of material weaknesses
- Sample Statement of Assurance letter

Questions??